

FORM PTO-1390 (Modified)
(REV. 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

BREV 13186

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/830380INTERNATIONAL APPLICATION NO.
PCT/FR99/02797INTERNATIONAL FILING DATE
15 NOVEMBER 1999PRIORITY DATE CLAIMED
16 NOVEMBER 1998

TITLE OF INVENTION

THIN LAYER OF HAFNIUM OXIDE AND DEPOSIT PROCESS

APPLICANT(S) FOR DO/EO/US

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Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

Request (4 pages)**Face Page of International Application**

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21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$840.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =**\$840.00**

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	13 - 20 =	0	x \$18.00	\$0.00	
Independent claims	4 - 3 =	1	x \$80.00	\$80.00	
Multiple Dependent Claims (check if applicable).				<input type="checkbox"/>	\$0.00

TOTAL OF ABOVE CALCULATIONS =**\$920.00**

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).

☐**\$0.00****SUBTOTAL =****\$920.00**

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

+

\$0.00**TOTAL NATIONAL FEE =****\$920.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

☒**\$40.00****TOTAL FEES ENCLOSED =****\$960.00**

Amount to be:	\$
refunded	
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FORM PTO-2038

☒ ~~Check~~ in the amount of 960

to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **08-1391** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

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24,315

REGISTRATION NUMBER

April 25, 2001

DATE

THIN LAYER OF HAFNIUM OXIDE AND DEPOSIT PROCESSDESCRIPTIONField of the invention

The invention relates to the field of thin layers of hafnium oxide or stacks of thin layers comprising at least one layer of hafnium oxide. It also concerns a process for producing thin layers of hafnium oxide.

- 5 These thin layers are layers appearing in multilayer structures incorporating, apart from hafnium oxide layers, layers of other compositions.

Prior art

- 10 The deposit of thin layers of hafnium oxide, just like many other deposits, is carried out in known fashion by evaporation under vacuum. The basic principle is as follows:

- 15 In a vacuum chamber, an electron gun heats a target constituted of the material to be deposited. The material is then vaporised and deposited on a substrate, which has been placed close by. In the case of an oxide deposit, one can also carry out the same operation starting from the product to be oxidised, for
20 example a metal, the vacuum chamber containing oxygen under very low pressure. The latter procedure is known under the name "reactive evaporation under oxygen".

- 25 In the case of hafnium oxide, the two techniques are used but for reasons which will be set out below, they are always associated with energy means such as direct heating of the substrate, ion bombardment of the

layer during growth, or furthermore acceleration of the ions of the material to be deposited by means of an electric field, in such a way that they provide energy to the substrate.

5 The deposit processes are described in a more detailed way, for example in the manual by J.D. RANCOURT "Optical thin film user handbook, SPIE Press, 1996" (C1).

10 The production of layers of hafnium oxide or hafnia (HfO_2) is used mainly in multilayer coatings of optical components submitted to high laser fluxes. The function of the hafnia layers can be to ensure protection of the components to which they are added.

15 The component incorporating such layers of hafnia can in itself ensure protection against the laser flux and the optical function of the component. The multilayer composition can also be deposited as a protective coating on a pre-existing optical component to attenuate the laser flux undergone by this optical
20 component. The hafnia layers ensure protection in the wavelength ranges extending from the ultraviolet to the infrared for any type of laser, impulse or continuous.

25 The multilayer components incorporating the hafnia layers ensure the optical functions for example of mirror, spectral filter or anti-reflection.

30 The production of these special optical functions requires the production of surface treatments. It concerns, by suitable stacking of materials with different refraction indices, creation of an interferential system, which creates the desired optical function.

In order to do this, two or more materials are used, deposited alternately. In general, two materials, one with a high index and the other with a low index, suffice for the majority of applications.

5 Many materials can be used to play this role. For example, the following can be cited:

- silicon dioxide or silica (SiO_2)
- alumina (Al_2O_3)
- titanium dioxide (TiO_2)
- 10 - Yttrium fluoride YF_3)

In the special case of optics submitted to high laser fluxes, the laser damage threshold (LDT) of stacks is defined as the value of the fluence (or energy received per surface unit) above which appears a
15 permanent modification of surface treatment. Indications about the modes for producing layers with high damage thresholds can be found in a book by M.R. Kozlowski "Thin film for Optical Systems" published by F.R. Flory in 1995, (C2). Chapter 17 of this book
20 page 521 and following, provide the present trends in the choice of the material constituting the layers, the methods for measuring damage and deposit methods. In this chapter, especially in paragraph 3-5 pages 536-537, it is especially indicated that the deposit
25 techniques with energy means, as for example, with ion bombardment, have become very widely used because of the improved possibilities of controlling the thickness and the mechanical stability of the layer. These processes lead to layers with limited defects.

30 The damage to optical components is the factor limiting the maximum working laser fluences. This

motivates research into improving laser damage thresholds for surface treatments.

Within this framework, numerous families of materials were studied, for example, fluoride, 5 chalcogenide and oxide materials. The latter have been studied the most within the framework of surface treatments presenting high laser damage thresholds.

For applications with high laser flux in the near infrared, the $\text{HfO}_2/\text{SiO}_2$ couple is usually used, given 10 the high laser damage thresholds of the components obtained. Examples of results obtained with this couple are described in diverse applications. These publications in general indicate in which manner the layers were deposited. Examples of such publications 15 are given below, for information and for better understanding of what is to follow. An article by Allan J. WARLDORF et Al. published the 1.10.93 in the revue "Applied Optics" Vol. 32 No. 28, pages 5583-5593 (C3) describes the methods and results obtained concerning 20 the laser damage threshold with this couple. This article explains (in particular page 5583, second column) that the evaporation processes by heating the product to be evaporated by heating resistance or by electron beam give rapid but unsatisfactory results, in 25 particular from the point of view of damage thresholds. It indicates that the porosity of the films can be reduced by raising the temperature of the substrate, or by acceleration of the ions to be deposited.

It is also indicated that the results obtained 30 with the methods of ion acceleration (ion plating) have encouraged filter manufacturers to use this method

which therefore has tended to be generalised (p. 5584 top of column 2).

Other articles, for example BRAUN et al. entitled "Optical coating for high-power neodymium lasers" published in the review SOV. J. Quantum Electron 18 (10) - 1988 - page 1286-1290 (C4) or again that of L.L. Chase et al., "Investigation of optical damage in hafnia and silica thin films using pairs of sub-nanosecond laser pulses with variable time delay, J. Applied Physics, 71(3)(1992), pages 1204-1208" (C5) give damage results obtained with refractory oxide layers and in particular with hafnium oxides.

In the two articles quoted above, (C4-C5), the coatings were obtained by electron beam evaporation. In the second article (C5) it is indicated (page 1204, bottom of column 2) that the substrates were maintained at a temperature of 200°C during deposit.

In the great majority of published works, the coatings are produced by evaporation under vacuum from a hafnium oxide precursor.

Among the references already given above, on this subject, one can mention documents C2, C4, C5 and also the article by R.J. Tench et al., "Characterization of defects geometries in multilayer optical coatings, J. Vac. Sci. Technol. A 12(5) (1994) pp 2808" (C6)

This elaboration technique, directly from the oxide, has the inconvenience of generating many defects in the coatings due to projections issuing from the oxide load during evaporation.

These defects buried in the stack are identified as precursors of optical damage under laser flux.

Relative to this subject, one can consult the article of R. Chow et al., "Reactive evaporation of low-defect density hafnia, Applied Optics. Vol. 32 No. 28 (1993) pp 5567" (C7).

5 There are few publications openly available relative to the production of components from reactive evaporation of metallic hafnium under oxygen.

10 Apart from document C7, already mentioned above, it is however possible to cite the article by J.F. Anzellotti et al., "Stress and environmental shift characteristics of $\text{HfO}_2/\text{SiO}_2$ multilayer coating. Proceedings of the 28th annual Boulder Damage Symposium, SPIE Vol. 2966 (1996)" (C8).

15 In document C7, the results obtained by the evaporation techniques of hafnium metal and hafnia are compared.

20 Although they present attractive results concerning the reduction of the density and defects of nodular type, the authors do not demonstrate an improvement of laser damage thresholds for coatings produced by reactive evaporation of metal under oxygen. It can be thought that the presence of nodules in the coatings does not constitute a laser damage factor until the ultimate performance of the materials has
25 been reached.

30 Taking into account the state of the art, the inventors considered that it was possible to obtain good results concerning laser damage resistance, for the production of layers ensuring optical functions for example of the mirror, spectral filter or antireflection type, from the reactive evaporation of

metallic hafnium under oxygen, but on condition of mastering the growth conditions of the layers in particular the formation of aggregates and crystallinity.

5 It is known, for example from the article by B.A. Movchan et al. Fiz. Met. Metallurgy, 28 (1969) pp 653 (C9) that the structure and properties of condensates of metals or oxides depend closely on the temperature of the substrate on which the condensation takes place.

10 Therefore, the inventors tried to understand better the crystalline growth and the formation of metal aggregates and thus the ways to avoid them.

Non-energy processes with evaporation base produce coatings with high porosity.

15 In fact, the energy of evaporated species is relatively low: it is a function of the evaporation temperature of the material but typically of the order of several tenths of electron volts (eV). This leads to a very low mobility of species which condense on the surface of the substrate. In the time interval
20 corresponding to the deposit of two successive atom mono-layers, the atom displacements are not sufficient for inducing the compaction of layers and these vacancies are "buried". In this way, a microstructure
25 of porous layers is induced, characteristic of deposits obtained by evaporation. The consequence of this is the production of layers more difficult to control, for the following reasons:

30 - appearance of mechanical tension stresses in the layers which do not favour the stability of the stacks

unless specific compensation mechanisms are put into operation;

- evolution with time of the optical response of the component (progressive filling of porosities by water, inducing slipping of the average refraction index);

- process drift, the share of the thermal radiation of the evaporation loads being no longer negligible on a non-heated substrate. This means that the temperature of the substrate on which the deposit is made increases, and consequently the mobility of the species which condense on the substrate.

To minimise or annul the phenomena mentioned above, the great majority of processes implement means making it possible to densify the coatings. In order to do this, those skilled in the art possess techniques allowing an energy input on coatings during growth: the heating of substrates and ion bombardment of layers during growth.

As seen above, these techniques, providing the substrate with an input of energy, are very widely used in evaporation processes for thin layers.

The inventors have shown that these techniques degraded the performances of thin layers in terms of laser damage threshold at 1.06 μm .

This idea is based on studies on the damage of thin layers by lasers. Results of these studies have been published by J. Dijon et al., Nano absorbing center: a key point in laser damage of thin films. Proc. of 28th annual Boulder Damage Symposium, SPIE Vol. 2996 (1996) (C10). It is to be noted that one of

the authors of this publication is also one of the inventors. The results of these studies are that the presence of metallic impurities under aggregate form in the coatings provokes, via the creation of a relay
5 mechanism of heating of aggregates and radiation in the far ultraviolet, a local transformation of the layers rendering them absorbent to laser radiation at 1.06 μm , then the coupling of the laser on the material and destruction of the coating.

10 It is difficult to avoid the presence of metallic impurities within surface treatments whether they are impurities of external origin (material from the evaporation crucible, impurities from the evaporation load, constitutive elements of the evaporation chamber
15 in the case of utilisation of an ion source) or incompletely oxidised hafnium atoms.

When heating, or which comes to the same from the point of view of energy input to the substrate, when bombarding the layer with ions during growth,
20 crystallisation of the deposit is encouraged.

It is known that grain boundaries present in a crystallised material constitute privileged pathways for diffusion of impurities. An amorphous structure can "freeze" the diffusion of these impurities.

25 According to observations made by the inventors, the phenomenon of crystallisation of hafnia is necessarily induced by the energy supplied to the substrate by heating or by ion bombardment. This crystallisation is revealed by peaks of X-ray
30 diffraction. The crystallisation characteristic of the energy input is also revealed by transmission electron

microscopy. With this method the crystalline planes diffract the electrons in precise directions giving well defined rings from which it is possible to determine the crystalline structure of the material, for example a monoclinic structure for a deposit carried out on a substrate heated to 200°C.

Brief description of the invention

Taking into account the state of the art which has just been described, the inventors thought that any energy input is unfavourable for withstanding laser flux since it will encourage the stabilisation of these impurities by the formation of aggregates.

The basic idea of the invention, which goes contrary to the usual concepts of those skilled in the art, consists of working on a non-energy process, that is to say without either ionic assistance or heating of the substrates.

The materials deposited are thus amorphous, that is to say non-crystalline. In addition, when working with an energy input, one creates a compaction of the layer deposited. On the contrary, the material deposited without energy input has a lower density. In the inventors' documentation no data was found relating to the density of the hafnia layers deposited by known processes. The lowest densities known to the inventors are 8.5 gm/cm³. The densities measured on the hafnia layers according to the invention range between 6.4 and 8.1 gm/cm³. These densities can be measured by X-ray reflectometry. As pointed out above, crystallisation only intervenes if the substrates are

heated or, which comes to the same thing from the point of view of energy input, if the layer is bombarded with ions during growth. The absence of crystallisation, according to the inventors, can also explain the
5 reduction of the formation of aggregates because, as already mentioned above, grain boundaries present in a crystallised material constitute privileged pathways for diffusion of impurities. An amorphous structure can "freeze" the diffusion of these impurities.

10 To summarise, the invention relates to a thin layer of hafnium oxide characterised in that the hafnium oxide is in amorphous form with a density lower than 8 gm/cm^3 .

Contrary to the layers of hafnium oxides of prior
15 art, an amorphous layer of hafnium oxide does not show any X-ray diffraction peak. Observation by transmission electron microscopy shows diffuse rings characteristic of an amorphous structure. The invention also relates to a stack of thin layers characterised in that it
20 comprises at least one layer of amorphous hafnium oxide of density lower than 8 gm/cm^3 or, furthermore, to an optical component with a surface treatment characterised in that said surface treatment comprises at least one layer of amorphous hafnium oxide of
25 density lower than 8 gm/cm^3 .

In general, said layer of amorphous hafnium oxide of density lower than 8 gm/cm^3 is part of a stack of layers comprising at least one layer with a refraction index different from that of hafnium oxide.

30 Finally, the invention relates to a process for depositing under vacuum on a substrate at least one

layer of hafnium oxide by reactive evaporation under oxygen of metallic hafnium, said process characterised in that the deposit is carried out without any energy input to the substrate, whether or not this input is
5 before the deposit or during the deposit.

When one says that there is no energy input, this means that on the one hand the substrate is not heated or pre-heated, and on the other hand that no energy process is used such as ion bombardment of the layer
10 during growth, or ion acceleration before deposit (ion plating). The deposit is a "natural" deposit through the simple effect of condensation of the material to be deposited on the substrate. This deposit is then amorphous, that is to say there is an absence of
15 crystallinity.

As indicated above, the main advantage provided by layers of amorphous hafnia according to the invention is the very high resistance to laser flux.

The hafnia mono-layer according to the invention,
20 deposited on silica, was able to withstand a laser flux higher than 15 Joules/cm² at a wavelength of 1.06 μ m with impulses of 3 nsec with a recurrence frequency of 10 Hz until obtaining 15 Joules/cm². The best prior art known to the inventors is situated, under the same
25 conditions, in a range from 3 to 5 Joules/cm².

Furthermore, the cold process according to the invention allows a very substantial gain in time for the deposit chamber cycle.

In fact, heating the substrates can immobilise the
30 deposit equipment for a whole day when treating the most voluminous pieces, for example mirrors for the

Megajoule laser beam carrier. This mirror will be described below.

With the cold process according to the invention, the production of this type of mirror requires a time
5 cycle of 5 hours (not including putting the chamber under vacuum). It is therefore possible to carry out one deposit cycle per day, even if it were shown that a cooling of components between each hafnia deposit significantly improves the performance of the
10 components.

Finally, with the process according to the invention, it is not necessary to make deposits on substrates with high thermal stability.

In the production carried out so far, it has not
15 been necessary to cool the substrate actively, nor to control its temperature in a precise fashion.

For deposits of several mono-layers, the time required is short enough not to provoke significant temperature rise; for thicker deposits, two stages were
20 applied (or more if necessary) interrupted by free cooling time (for example, overnight). It is also possible to envisage cooling time after the deposit of each layer of HfO_2 . These cooling periods typically last for a time equivalent to one or several deposit
25 times of the preceding layer.

It is also possible, in order to reduce the time of utilisation of the chamber for a special mono-layer or multilayer production, to cool the substrate actively during growth of the deposit or during an
30 interruption period of the deposit.

Brief description of the drawings

Examples of production of stacks of thin layers among which amorphous hafnia layers according to the invention will now be described with reference to the attached drawings in which:

- Figure 1 shows a cross-section of a substrate carrying a layer of amorphous hafnium oxide according to the invention.

- Figures 2 and 3 show comparisons between plots of X-ray diffraction:

- Figure 2 between layers of hafnium oxide comprising oxide crystals resulting from heating of the substrate and an amorphous layer according to the invention,

- figure 3 between a layer of hafnium oxide comprising crystals of hafnium oxide resulting from ion bombardment of the substrate and an amorphous layer according to the invention.

- Figure 4 shows a cross-section of a substrate carrying a stack composed of layers of amorphous hafnium oxide according to the invention and layers of silicon oxide, the stack ensuring a mirror function.

- Figure 5 is a curve representing the reflection of a mirror component of figure 4 in function of wavelength.

- Figure 6 is a partial cross-section of an optical component comprising a stack of alternate layers of amorphous hafnia and silicon oxide.

- Figure 7 is a curve representing the optical performances of an anti-reflection component in terms

of percentage of transmission of light in the working spectrum range.

- Figure 8 is a curve representing the values of transmission of a silica substrate in the 800-2600 nm range treated with a stack of 10 layers of HfO_2 and SiO_2 of total thickness 2300 nm.

Description of examples of production of stacks of layers comprising layers according to the invention

Figure 1 shows a layer of amorphous hafnium oxide 2, according to the invention, deposited on a substrate 1. It can be checked that the hafnium oxide is amorphous, for example, by observation of the X-ray diffraction plot.

Such plotss are shown in figures 2 and 3.

Figure 2 shows curves 7, 8, 9, 10. The curves represent in arbitrary units, the intensity of X-rays diffracted depending upon the value of the angle of diffraction.

Curve 7 shows the diffraction spectrum of a layer of hafnia produced cold (without heating of the deposit substrate).

Curves 8, 9 and 10 show diffraction spectra of a hafnia layer produced with a deposit substrate of 100°, 150° and 200°C respectively.

Figure 3 shows two curves 11 and 12. These curves show the diffraction spectra of hafnia layers produced either without ion bombardment of the layer during growth (curve 11), or with ion bombardment (curve 12).

Curves 7 and 11 do not reveal any diffraction peaks 13: the layers of hafnia are thus amorphous.

On the other hand, layers 8, 9, 10 and 12 reveal diffraction peaks 13 characteristic of crystalline materials.

The following examples of embodiments are produced
5 by stacks of layers of $\text{HfO}_2/\text{SiO}_2$ for the reasons given above.

The layers of amorphous hafnium oxide are deposited cold according to the process of the invention, as are the layers of silicon oxide,
10 deposited without deliberate heating nor ion bombardment of the substrates.

A first embodiment example relates to the production of a mirror 4 at 1064 nm. The component 4 must ensure a reflecting function at 1064 nm under an
15 angle of incidence of 45° . This mirror 4 is produced by a stack of formula 12 (HB) H_2B where H represents a mono-layer of thickness 156 nm of HfO_2 and B a mono-layer of 213 nm of SiO_2 .

A cross-section of this optical component 4
20 intended to represent the stacking of the layers is shown in figure 4. On a substrate 1, the mirror according to the invention comprises first of all a stack of twelve layers H of amorphous hafnium oxide 2, each alternating with a layer B of silicon oxide 3. It
25 then comprises two layers H of amorphous hafnium oxide 2 and finally a layer B of silicon oxide 3.

In order to produce such thick stacks, the radiation of hafnium raised to more than 2000°C creates a progressive rise in the temperature by direct
30 radiation on the substrates. If no special precautions are taken, it is estimated from thermocouple

measurements that the temperature approaches 100°C at the end of evaporation. It is possible to reduce this rise in temperature by interrupting the process by periods of cooling. In this embodiment the reflecting layer was obtained in two stages with a phase of natural cooling half-way through the stacking. Figure 5 shows the reflection of the component in function of wavelength. Reflection reaches 99.5% at 1200 nm. Measurement at an angle of incidence of 45° gives a reflectivity higher than 99% at 1064 nm. A damage test was carried out with increasing fluence according to the "R On 1" method described on page 523 of document C2. According to this method, each test zone is illuminated with increasing series of several hundreds of impulses, here of 3 nanoseconds each, with a recurrence frequency of 10 Hertz, of increasing fluence. The average damage thresholds measured are of the order of 50 Joules/cm², that is to say a value much higher than any mentioned in present publications. Thus Waldorf et al. report in document C3 that they obtained values of threshold laser damage at 1.06 µm lower than 2 Joules/cm² from hafnium evaporation, but with ion bombardment, (species energy Ar⁺ and O₂⁺ which bombard the substrate during growth of the order of 40 eV in this study) thus energy input to the substrate which results in crystallisation of the hafnium oxide contrary to the process of the invention which itself is without energy input and results in layers of amorphous hafnium oxide.

The inventors consider that these good results are due to the absence of metallic aggregates and/or the

amorphous form of the hafnia layers according to the invention whereas on the contrary, according to prior art, the energy input resulted in crystallisation of the material.

5 The second example is relative to a surface anti-reflection treatment in the wavelength range of 550 to 670 nm. This treatment can, for example, be used as treatment for an optical component in a SILVA laser chain used for the isotopic separation by laser of
10 uranium in vapour phase. A stack of six layers of $\text{HfO}_2/\text{SiO}_2$ of total thickness 630 nm was deposited on each of the faces of a substrate, the layers of amorphous hafnia being deposited by the process according to the invention.

15 In figure 6, the optical component 6 is shown, with the aim of simplification, with a single example of the two-layer composition comprising a layer of amorphous hafnia 2 alternating with a layer of silicon oxide 3.

20 The curve in figure 7 shows the optical performances of component 6 in terms of percentage of light transmission in the working spectral range expressed in nm. It can be seen that the percentage is very close to 100% within the entire working range. The
25 behaviour of this component under laser flux is shown to be excellent within the utilisation wavelength range.

 Thus, the component resisted an irradiance higher than 80 kW/cm^2 by a laser emitting at a wavelength
30 of 578 nanometres. The frequency of irradiance pulses,

each of 3 ns was 5.6 KHz and the exposure time was about five minutes.

The third example relates to the embodiment of a 3-strip antireflection treatment. The component described in this example is part of an optical parametric oscillator device (OPO). This treatment is deposited on a crystal of potassium and titanyl phosphate (KTiPO_4) generally referred to as KTP, which is submitted to laser irradiation at 1064 nm. The properties of the crystal are such that this irradiation induces an emission of photons at 1572 and 3292 nm. The aim of the treatment is to eliminate the parasitic reflections at these wavelengths in order to improve the OPO performances. Figure 8 shows the transmission values of a silica substrate within the range 800-2600 nm treated with a stack of 10 layers of HfO_2 and SiO_2 of total thickness 2300 nm. The representation of this treatment on the KTP crystal would not aid the understanding of the invention, and therefore it has not been shown. Measurements of residual reflectivity on the KTP crystal are, at the working wavelengths:

-R = 0.1% at 1064 nm

-R = 0.01% at 1572 nm

-R < 7% at 3292 nm

The laser damage threshold at 1064 nm is 23 J.cm^{-2} , which is remarkable for a low reflection treatment at this wavelength; in fact the quasi-totality of the flux crosses the component and stresses the stack assembly.

Example of an embodiment of the process according to the invention

Information relating to the process for producing hafnia layers according to the invention has already
5 been given above.

For the three examples of embodiments described above, the production conditions were in compliance with the following table:

	HfO ₂ layer	SiO ₂ layer
Crucible	Without crucible or in graphite	Without crucible
Departure material	Hf metal turnings (1-3 mm)	SiO ₂ granules
Electron gun	10 kV \cong 400 mA	10 kV \cong 200 mA
O ₂ pressure	$4 \cdot 10^{-4}$ mbar	without O ₂ addn.
Deposit rate	0.25 nm/sec	0.45 nm/sec
Deposit temp.	ambient	ambient

10

There is a significant difference from prior art: as can be seen, the temperature of deposit substrate is equal to the ambient temperature, that is about 20°C and not 200°C as in prior art.

15

CLAIMS

1. Thin layer of hafnium oxide, characterised in that the hafnium oxide is under amorphous form with a density less than 8 gm/cm^3 .

5 2. Stack of thin layers, characterised in that it comprises at least one layer of amorphous hafnium oxide with a density less than 8 gm/cm^3 .

10 3. Stack of thin layers according to Claim 2, characterised in that the stack comprises at least one layer of another material deposited above or below the amorphous hafnium oxide layer with a density less than 8 gm/cm^3 .

15 4. Stack of thin layers according to Claim 3, characterised in that the other material is silicon oxide.

20 5. Stack of thin layers according to Claim 2, characterised in that the stack comprises alternate layers of amorphous hafnium oxide with a density less than 8 gm/cm^3 and another material.

25 6. Stack of thin layers according to Claim 5, characterised in that the other material is silicon oxide.

7. Optical component with a surface treatment, characterised in that said surface treatment comprises

at least one layer of amorphous hafnium oxide with a density less than 8 gm/cm³.

8. Optical component according to Claim 7,
5 characterised in that said treatment comprises a stack of thin layers.

9. Optical component according to Claim 8,
10 characterised in that the stack comprises alternate layers of amorphous hafnium oxide of density less than 8 gm/cm³ and another material.

10. Optical component according to Claim 9,
15 characterised in that the other material is silicon oxide.

11. Process for vacuum deposit on a substrate of at least one layer of amorphous hafnium oxide by reactive evaporation under oxygen, of metallic hafnium,
20 the process characterised in that the deposit is carried out without energy input to the substrate.

12. Process according to Claim 11, characterised in that the deposit is interrupted, and then restarted,
25 to allow the substrate to cool.

13 Process according to Claim 11, characterised in that the substrate is cooled during deposit or during periods of interruption of deposit.
30

ABSTRACTTHIN LAYER OF HAFNIUM OXIDE AND DEPOSIT PROCESS

A thin layer of hafnium oxide or stacking of thin layers comprising hafnium oxide layers for producing surface treatments of optical components, or optical components, characterised in that at least one layer of hafnium oxide is in amorphous form with a density less than 8 gm/cm³.

The invention also relates to a process for producing a layer of amorphous hafnium oxide on a substrate, characterised in that the deposit is carried out without energy input to the substrate.

Figure 1

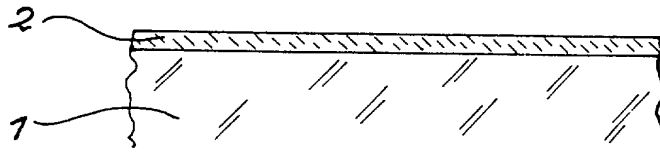


FIG. 1

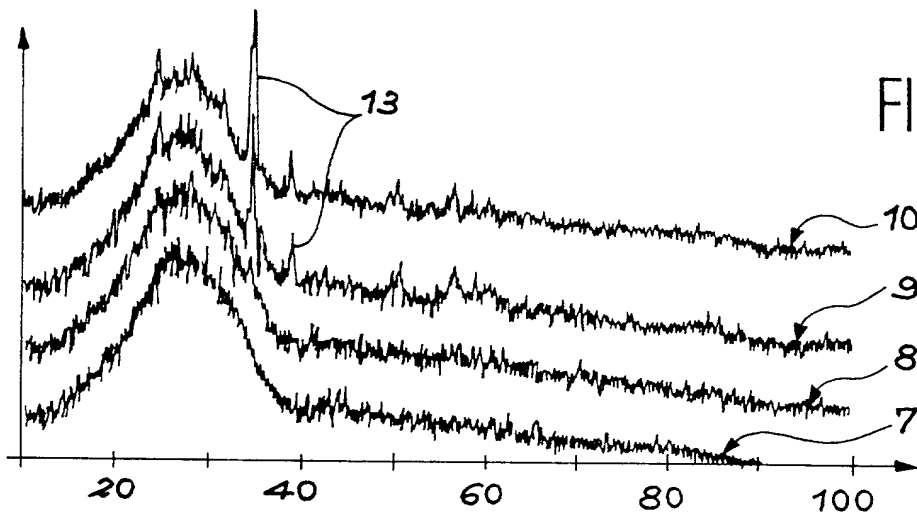


FIG. 2

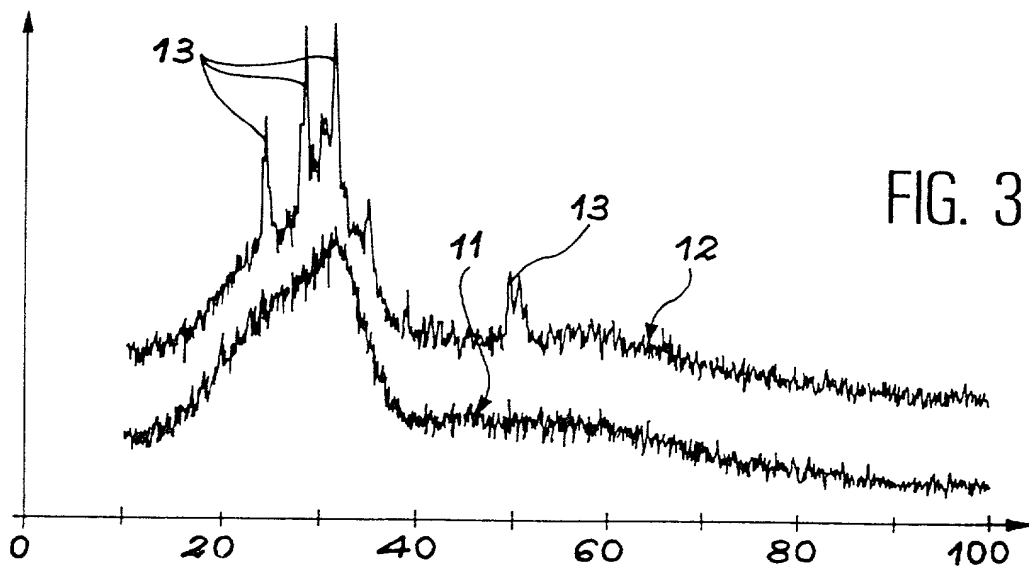


FIG. 3

2/3

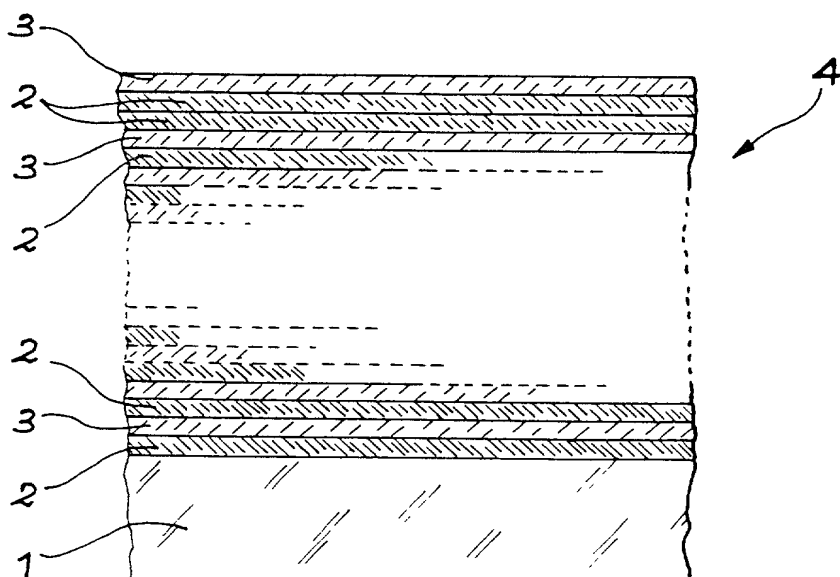


FIG. 4

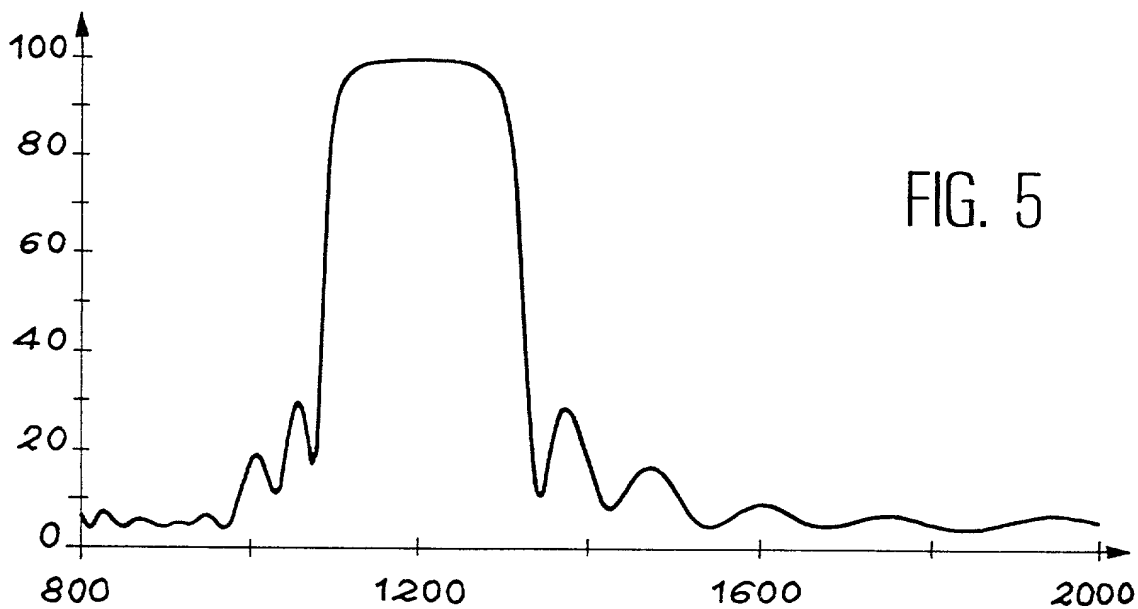


FIG. 5

3 / 3

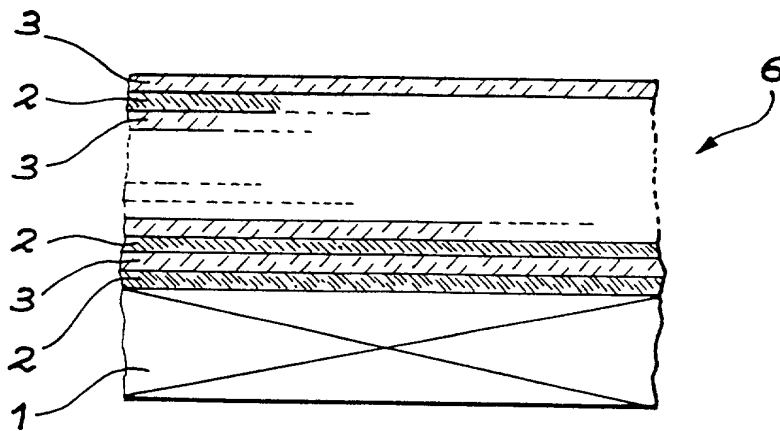


FIG. 6

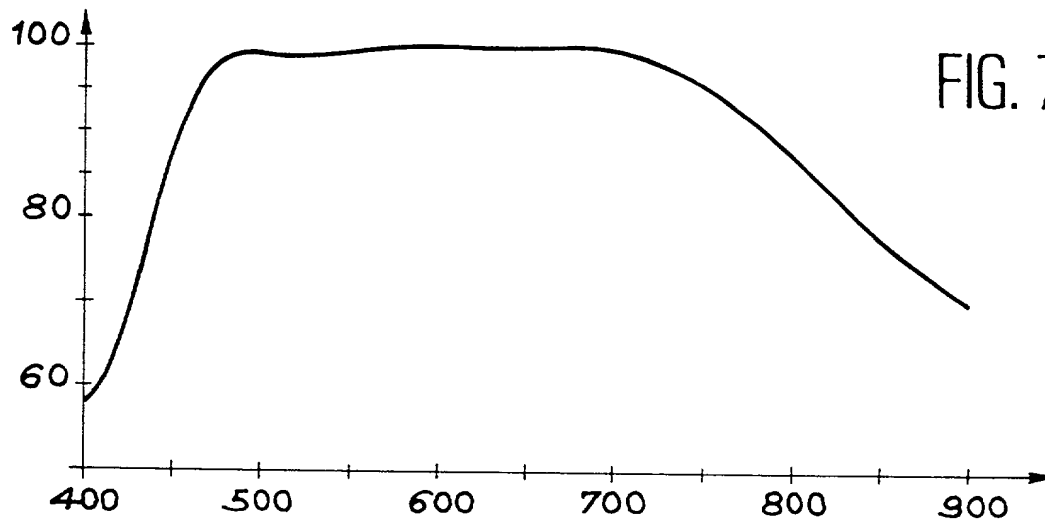


FIG. 7

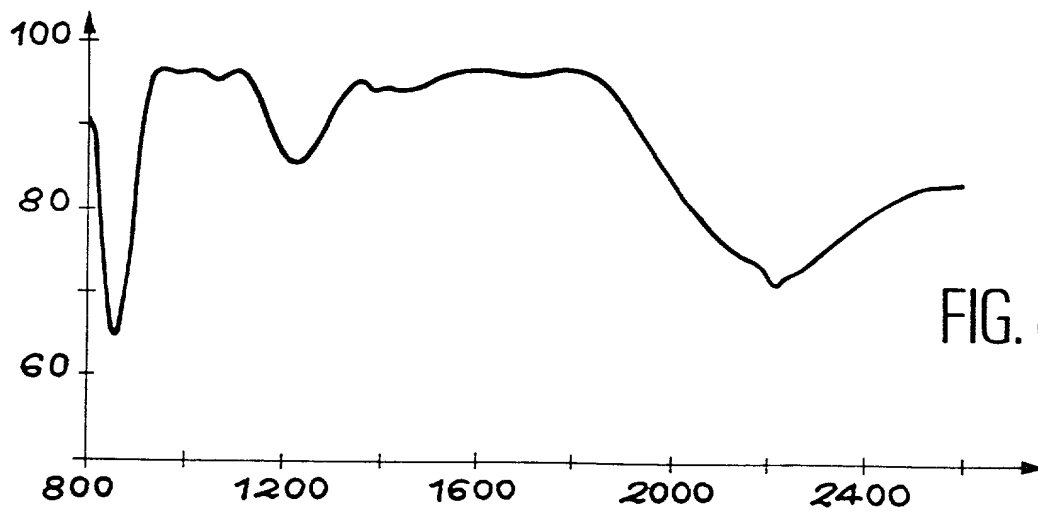


FIG. 8

Declaration, Power Of Attorney and Petition

Page 1 of 3

WE (I) the undersigned inventor(s), hereby declare(s) that :

My residence, post office address and citizenship are as stated below next to my name,

We (I) believe that we are (I am) the original, first, and joint (sole) inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled
THIN LAYER OF HAFNIUM OXIDE AND DEPOSIT PROCESS

the specification of which

- ☐ is attached hereto.
- ☐ was filed on
as Application Serial No.
and amended on
- ☒ was filed as PCT international application
Number PCT/FR99/02797
on November 15, 1999
and was amended under PCT Article 19
on

We (I) hereby state that we (I) have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We (I) acknowledge the duty to disclose information known to be material to the patentability of this application as defined in Section 1.56 of Title 37 Code of Federal Regulations.

We (I) hereby claim foreign priority benefits under 35 U.S.C. § 119 (a)-(d) or § 365 (b) of any foreign application(s) for patent or inventor's certificate, or § 365 (a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed. Prior Foreign Application (s)

Application No.	Country	Day/month/Year	Priority Claimed	
98 14350	FRANCE	16 NOVEMBER 1998	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
_____	_____	_____	<input type="checkbox"/> YES	<input type="checkbox"/> NO
_____	_____	_____	<input type="checkbox"/> YES	<input type="checkbox"/> NO
_____	_____	_____	<input type="checkbox"/> YES	<input type="checkbox"/> NO

We (I) hereby claim the benefit under Title 35, United States Code, § 119 (e) of any United States provisional application(s) listed below.

(Application Number)

(Filing Date)

(Application Number)

(Filing Date)

We (I) hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of prior application and the national or PCT International filing date of this application.

Application Serial No.

Filing Date

Status (pending, patented,
abandoned)

And we (I) hereby appoint : Oliver W. Hayes, Registration Number 15,867; Norman P. Soloway, Registration Number 24,315; William O. Hennessey, Registration Number 32,032 ; Susan Haddad Hage Registration Number 29,646 ; Steven J. Grossman, Registration Number 35,001 ; Christopher K. Gagne, Registration Number 36,142 and Edmund Paul Pflieger, Registration Number 41,252; our (my) attorneys, with full powers of substitution and revocation, to prosecute this application and to transact all business in the Patent Office connected therewith; and we (I) hereby request that all correspondence regarding this application be sent to the firm of HAYES, SOLOWAY, HENNESSEY, GROSSMAN & HAGE, whose post Office Address is : 175 Canal Street, Manchester, New Hampshire 03101-2335.

We (I) declare that all statements made herein of our (my) own knowledge are true and that all statements made on information and belief are believed to be true ; and future that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such wilful false statements may jeopardise the validity of the application or any patent issuing thereon.

1-0
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Citizen of : _____

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